

Form 1449*	Atty. Docket No.: 303.355US4	Serial No. Unknown
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)	Applicant: Leonard Forbes et al.	
	Filing Date: Herewith	Group: <sup>2314</sup> Unknown

## U.S. PATENT DOCUMENTS

**Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
<u>TD</u>	4,113,515	09/12/1978	Kooi, E., et al.	148	1.5	03/29/76
<u>TD</u>	4,460,670	07/01/1984	Ogawa, et al.	430	57	11/19/82
<u>TD</u>	4,462,150	07/31/1984	Nishimura, H., et al.	29	576 B	09/16/82
<u>TD</u>	4,507,673	03/26/1985	Aoyama, M., et al.	357	23 R	09/21/83
<u>TD</u>	4,657,699	04/01/1987	Nair	252	513	12/17/84
<u>TD</u>	4,738,729	04/01/1998	Yoshida, et al.	136	258	01/27/87
<u>TD</u>	4,768,072	08/30/1988	Seki, Y., et al.	357	29	10/02/86
<u>TD</u>	4,769,686	09/06/1988	Horiuchi, M., et al.	357	23.8	06/19/87
<u>TD</u>	4,841,349	06/20/1989	Nakano, M.	357	30	10/28/87
<u>TD</u>	4,849,797	07/18/1989	Ukai, Y., et al.	357	237	01/20/88
<u>TD</u>	4,893,273	01/09/1990	Usami	365	185	03/21/86
<u>TD</u>	5,049,950	09/17/1991	Fujii, Y., et al.	357	2	08/09/90
<u>TD</u>	5,111,430	05/05/1992	Morie	365	185	06/21/90
<u>TD</u>	5,145,741	09/01/1992	Quick	428	402	02/28/91
<u>TD</u>	5,235,195	08/10/1993	Tran, N.T., et al.	257	59	10/19/92
<u>TD</u>	5,260,593	11/09/1993	Lee, R.E.	257	316	12/10/91
<u>TD</u>	5,293,560	03/08/1994	Harari, E.	365	185	11/03/92
<u>TD</u>	5,298,796	03/29/1994	Tawel, P.	307	201	07/08/92
<u>TD</u>	5,317,535	05/31/1994	Talreja, S.S., et al.	365	185	06/19/92
<u>TD</u>	5,369,040	11/29/1994	Halvis, et al.	437	3	04/12/93
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<u>TD</u>	5,388,069	02/07/1995	Kokubo, M.	365	185	03/18/93
<u>TD</u>	5,407,845	04/18/1995	Nasu, Y., et al.	437	40	10/13/93
<u>TD</u>	5,415,126	05/16/1995	Loboda, M.J., et al.	117	88	08/16/93
<u>TD</u>	5,424,993	06/13/1995	Lee, R.E., et al.	365	218	11/15/93
<u>TD</u>	5,438,544	08/01/1995	Makino, T.	365	185	01/28/94
<u>TD</u>	5,449,941	09/12/1995	Yamazaki, S., et al.	257	411	10/27/92
<u>TD</u>	5,455,432	10/03/1995	Hartsell, M.L., et al.	257	77	10/11/94
<u>TD</u>	5,465,249	11/07/1995	Cooper, et al.	365	149	11/26/91
<u>TD</u>	5,467,306	11/14/1995	Kaya, C., et al.	365	185.2	10/04/93
<u>TD</u>	5,477,485	12/19/1995	Bergemont, et al.	365	185.24	02/22/95
<u>TD</u>	5,493,140	02/20/1996	Iguchi, K.	257	316	06/21/94
<u>TD</u>	5,508,543	04/16/1996	Hartstein, A.M., et al.	257	314	04/29/94
<u>TD</u>	5,530,581	06/25/1996	Cogan	359	265	05/31/95
<u>TD</u>	5,557,114	09/17/1996	Leas, J.M., et al.	257	59	01/12/95
<u>TD</u>	5,562,769	10/08/1996	Dreifus, D.L., et al.	117	86	02/22/95
<u>TD</u>	5,580,000	12/03/1996	Liu, et al.	1	86	01/08/95
<u>TD</u>	5,604,357	02/18/1997	Hori, T.	257	24	07/11/95
<u>TD</u>	5,623,412	04/22/1997	Gaton, W., et al.	365	85.18	04/09/91
<u>TD</u>	5,629,222	05/13/1997	Yamazaki, S., et al.	438	259	04/28/95
<u>TD</u>	5,654,208	08/05/1997	Harris, C., et al.	438	522	05/08/95

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Form 1449*	Atty. Docket No.: 303.355US4	Serial No. <u>Unknown 06/83,793</u>
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)	Applicant: Leonard Forbes et al.	
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**Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
<u>TD</u>	5,670,790	09/23/1997	Katoh, et al.	257	14	09/19/96
<u>TD</u>	5,714,766	02/03/1998	Chen, et al.	257	20	09/29/95
<u>TD</u>	5,719,410	02/17/1998	Suehiro, S., et al.	257	77	12/16/96
<u>TD</u>	5,740,104	04/14/1998	Forbes, L.	365	185.03	01/29/97
<u>TD</u>	5,754,477	05/19/1998	Forbes, L.	365	185.33	01/29/97
<u>TD</u>	5,786,250	07/28/1998	Wu, Z., et al.	438	254	03/14/97
<u>TD</u>	5,789,276	08/04/1998	Leas, J.M., et al.	438	59	12/08/95
<u>TD</u>	5,801,401	09/01/1998	Forbes, L.	257	77	01/29/97
<u>TD</u>	5,846,859	12/08/1998	Lee, S.	438	253	02/23/96
<u>TD</u>	5,858,811	01/12/1999	Tohyama, S.	438	75	01/15/97
<u>TD</u>	5,877,041	03/02/1999	Fuller, R.T.	438	105	06/30/97
<u>TD</u>	5,886,368	03/23/1999	Forbes, L., et al.	257	77	07/29/97
<u>TD</u>	5,886,379	03/23/1999	Jeong, H.	257	319	01/27/97
<u>TD</u>	5,898,197	04/27/1999	Fujiwara, H.	257	317	06/03/97
<u>TD</u>	5,907,775	05/25/1999	Tseng, H.	438	261	04/11/97
<u>TD</u>	5,912,837	06/15/1999	Lakhani, V.	365	185.02	10/28/96
<u>TD</u>	6,018,166	01/25/2000	Lin, K., et al.	257	22	07/30/98
<u>TD</u>	6,031,263	02/29/2000	Forbes, L., et al.	257	315	07/29/97
<u>TD</u>	6,034,001	03/07/2000	Shor, J.S., et al.	438	931	02/17/94
<u>TD</u>	6,075,259	06/13/2000	Baliga, B.J.	257	77	07/13/99
<u>TD</u>	6,144,581	11/07/2000	Diorio, C.J., et al.	365	185.03	11/30/98
<u>TD</u>	6,163,066	12/19/2000	Forbes, L., et al.	257	632	08/24/98
<u>TD</u>	6,166,401	12/26/2000	Forbes, L.	257	77	08/20/98

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**Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
<u>TD</u>	01-115162	05/08/1989	Japan	H01L	29/78	
<u>TD</u>	0291951	08/04/1993	European	H01L	29/64	
<u>TD</u>	03-222367	10/01/1991	Japan	H01L	29/784	
<u>TD</u>	04-056769	02/24/1992	Japan	C23C	16/32	
<u>TD</u>	06-224431	08/12/1994	Japan	H01L	29/784	
<u>TD</u>	06-302828	10/28/1994	Japan	H01L	29/788	
<u>TD</u>	0681333	11/08/1995	European	H01L	29/788	
<u>TD</u>	07-115191	05/02/1995	Japan	H01L	29/78	
<u>TD</u>	07-226507	08/22/1995	Japan	H01L	29/78	
<u>TD</u>	08-255878	10/01/1996	Japan	H01L	27/10	
<u>TD</u>	08-255878-TR	10/01/1996	Japan	H01L	27/10	
<u>TD</u>	60-024678	02/07/1985	Japan	G06K	9/36	
<u>TD</u>	60-134601	03/20/1985	Japan	C23C	16/30	
<u>TD</u>	60-242678	12/02/1985	Japan	H01L	29/73	
<u>TD</u>	62-122275	05/03/1987	Japan	H01L	27/78	

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## FOREIGN PATENT DOCUMENTS

**Examiner Initial						Translation	
No	Indication Number	Date	Country	Class	Subclass	Yes	
70	63-181473	07/26/1988	Japan	H01L	29/78		
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70		Benjamin, M., et al., "UV Photoemission Study of Heteroepitaxial AlGaIn Films Grown on 6H-SiC", <u>Applied Surface Science</u> , 104/105, 455-460, (1996)
70		Bermudez, V., et al., "The Growth and Properties of Al and AlN Films on GaN(0001) (1 x 1)", <u>J. Applied Physics</u> , 79, 110-119, (Jan. 1996)

Examiner <i>Thurston</i>	Date Considered <i>12/12/96</i>
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\*Substitute Disclosure Statement Form PTO 1449.

\*\*EXAMINER: Initial if citation considered whether or not citation is in conformance with MPEP 2.107. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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70	Casey, H., et al., "Low Interface Trap Density for Remote Plasma Deposited SiO <sub>2</sub> on n-type GaN", <u>Applied Phys. Lett.</u> , <u>68</u> , 1850-1852, (March 1996)
70	Chang, C., et al., "Novel Passivation Dielectrics-The Boron- or Phosphorus-Doped Hydrogenated Amorphous Silicon Carbide Films", <u>Journal of the Electrochemical Society</u> , <u>132</u> , 418-422, (Feb. 1985)
70	Choi, J., et al., "Effect of Deposition Conditions and Pretreatments on the Microstructure of MPECVD Diamond Thin Films", <u>Materials Chemistry and Physics</u> , <u>45</u> , 176-179, (1996)
70	Clarke, G., et al., "The Infrared Properties of Magnetron-Sputtered Diamond-Like Thin Films", <u>Thin Solid Films</u> , <u>280</u> , 130-135, (1996)
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70	Demichelis, F., et al., "Physical Properties of Undoped and Doped Microcrystalline SiC:H Deposited By PECVD", <u>Materials Research Society Symposium Proceedings</u> , <u>219</u> , Anaheim, CA, 413-418, (4/30 - 5/3, 1991)
70	Dipert, B., et al., "Flash Memory Goes Mainstream", <u>IEEE Spectrum</u> , <u>30</u> , 48-52, (October 1993)
70	Edelberg, E., et al., "Visible Luminescence from Nanocrystalline silicon films produced by plasma enhanced chemical vapor deposition". <u>Appl. Phys. Lett.</u> , <u>68</u> , 1415-1417, (1996)
70	Fissel, A., et al., "Epitaxial Growth of SiC Thin Films on Si stabilized alpha-SiC (0001) at Low Temperatures by Solid-source Molecular Beam Epitaxy", <u>Journal of Crystal Growth</u> , <u>154</u> , 72-80, (1995)

Examiner <i>Theresa L. Brown</i>	Date Considered <i>12/10/91</i>
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\*Substitute Disclosure Statement Form (PTO 1449)

\*\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form 1449*	Atty. Docket No.: 303.355US4	Serial No. Unknown
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	Filing Date: Herewith	Group: Unknown

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TD	Friedrichs, P., et al., "Interface Properties of Metal-Oxide-Semiconductor Structures on N-Type 6H and 4H-SiC", <u>J. Applied Physics</u> , <u>79</u> , 7814-7819, (May 15, 1996)
TD	Fujii, T., et al., "Bonding Structures in Highly Photoconductive a-SiC:H Films Deposited by Hybrid-Plasma Chemical Vapor Deposition", <u>Journal of Non-Crystalline Solids</u> , <u>198-200</u> , 577-581, (1996)
TD	Goetzberger, A., et al., <u>Applied Solid State Science: Advances in Materials and Device Research</u> , R. Wolfe, ed., Academic Press, New York, Including pg. 233, (1969)
TD	Graul, J., et al., "Growth Mechanism of Polycrystalline beta-SiC Layers on Silicon Substrate", <u>Applied Phys. Lett.</u> , <u>21</u> , 67-69, (July 1972)
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TD	Hybertsen, M.S., "Absorption and Emission of Light in Nanoscale Silicon Structures", <u>Phys. Rev. Lett.</u> , <u>72</u> , 1514-1517, (1994)
TD	Jou, S., et al., "Electron Emission Characterization of Diamond Thin Films Grown from a Solid Carbon Source", <u>Thin Solid Films</u> , <u>280</u> , 256-261, (1996)
TD	Kato, M., et al., "Read-Disturb Degradation Mechanism due to Electron Trapping in the Tunnel Oxide for Low-voltage Flash Memories", <u>IEEE Electron Device Meeting</u> , 45-48, (1994)
TD	Kothandaraman, M., et al., "Reactive Ion Etching of Trenches in 6H-SiC", <u>J. Electronic Materials</u> , <u>25</u> , 875-878, (1996)

Examiner <u>Theresa Ann</u>	Date Considered <u>12/6/96</u>
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\*Substitute Disclosure Statement Form "PTO 1449"

\*\*EXAMINER: Initial if citation considered. Whether or not citation is in conformance with MPEP 2139. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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TD	Lakshmi, E., et al., "Interface-State Characteristics of GaN/GaAs MIS Capacitors", <u>Solid-State Electronics</u> , 25, 811-815, (1982)
TD	Lanois, F., et al., "Angle Etch Control for Silicon Carbide Power Devices", <u>Applied Phys. Lett.</u> , 69, 236-238, (July 1996)
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TD	Lott, J.A., et al., "Charge Storage in InAlAs/InGaAs/InP Floating Gate Heterostructures", <u>Electronics Letters</u> , 26, 972-973, (July 5, 1990)
TD	Luo, J., et al., "Localized Epitaxial Growth of Hexagonal and Cubic SiC Films on Si by Vacuum Annealing", <u>Applied Phys. Lett.</u> , 69, 916-918, (Aug. 1996)
TD	Martins, R., et al., "Transport Properties of Doped Silicon Oxycarbide Microcrystalline Films Produced by Spatial Separation Techniques", <u>Solar Energy Materials and Solar Cells</u> , 41-42, 493-517, (1996)
TD	Martins, R., et al., "Wide Band Gap Microcrystalline Silicon Thin Films", <u>Diffusion and Defect Data. Solid State Phenomena</u> , 44-46, Part 1, Scited Publications, 299-346, (1995)

Examiner <i>W. J. [Signature]</i>	Date Considered <i>12/15/97</i>
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Initial

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70	Maury, F., et al., "Chemical Vapor Co-Deposition of C and SiC at Moderate Temperature for the Synthesis of Compositionally Modulated Si(x)C(1-x) Ceramic Layers", <u>Surface and Coatings Technology</u> , 76-77, 119-125, (1995)
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